

 <p style="text-align: center;">Massachusetts Department of Correction</p> <h1 style="text-align: center;">POLICY</h1>	Effective Date  11/3/2022	Responsible Division  Deputy Commissioner, Prisons	
	Annual Review Date  11/3/2022		
Policy Name  103 DOC 427  BEHAVIOR ASSESSMENT UNITS AND SECURE ADJUSTMENT UNITS	M.G.L. Reference: G.L. c. 124, §§ 1 a, b, c, g, and q.		
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	ACA/PREA Standards: Click here to enter text.		
Attachments Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Inmate Library Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Applicability:    Staff	
Public Access Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>		Location: DOC Central Policy File Institution Policy File Inmate Policy File	
<p><b>PURPOSE:</b> The purpose of this policy is to establish departmental policy and procedure for the transfer, housing, monitoring and release of inmates in Behavior Assessment Units (BAUs) and Secure Adjustment Units (SAUs). Annual review of institution procedures.</p> <p><b>RESPONSIBLE STAFF FOR IMPLEMENTATION AND MONITORING OF POLICY:</b> Deputy Commissioner of Prisons</p> <p><b>CANCELLATION:</b> This policy cancels all previous department policy statements, bulletins, directives, orders, notices, rules, or regulations regarding planning which are inconsistent with this policy.</p> <p><b>SEVERABILITY CLAUSE:</b> If any part of this policy is for any reason held to be in excess of the authority of the Commissioner, such decision will not affect any other part of this policy.</p>			

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**DEFINITIONS**

Agency Appraisal Team (AAT): A team comprised of Superintendents, Division Directors, Assistant Deputy Commissioners (ADCs) (North, South, and Reentry), and Deputy Commissioners (Clinical and Reentry Services, and Prisons) who meet monthly to discuss current BAU placements and the status of their appraisal.

Appraisal: The process by which the IAT reviews the inmate's behavior(s) which led to BAU placement. During this process, the IAT should, at minimum, review the pertinent information, consider any factors that may have influenced the inmate's behavior(s), and consider any input offered by the inmate to determine if a structured program intervention is needed to address these factors. This begins with an initial appraisal that normally concludes within ten (10) business days with a recommendation by the IAT. Should more information be needed to make a recommendation, then the IAT would transition to the subsequent appraisal process, during which the IAT reviews any new information in conjunction with behavior on the unit and documented discussion with the inmate during the sixty (60)-day Subsequent Appraisal process.

Behavior Assessment Units (BAU): For purposes of this policy, a Behavior Assessment Unit shall be defined as a housing unit that is not Restrictive Housing that is used for the assessment of inmates who pose an unacceptable risk to the safety, security, and orderly operations of the correctional institution, have a possible personal safety need that needs to be investigated, or who pose a threat to others and require separation from general population. The goal of this unit is to expeditiously assess an individual's need(s) and determine if a structured program is recommended to address their need(s).

Extra Restraint Status for Potentially Violent/Assaultive BAU/SAU Inmates: In the event an inmate is deemed a risk to the unit and/or staff due to the inmate's behavior, extra restraints may be authorized by the superintendent or designee in accordance with 103 DOC 520, *Instruments of Restraint*.

General Population: For purposes of this policy, general population is defined as any housing area, other than a Health Services Unit, a Department Disciplinary Unit, a Secure Treatment Unit, a Special Housing Unit, a Secure Adjustment Unit, an Intensive Treatment Unit, or a Behavior Assessment Unit.

Individualized Program Plan: A document to identify the inmate's specific goals for their time in the SAU. This will be developed with the inmate's input and objectives initially identified by the IAT while the inmate is still housed in the BAU, and by the MDT once reclassified to a SAU. The plan will be maintained by the MDT, and the SAU Director is responsible for the maintenance, oversight, and process of this plan. If the inmate chooses not to discuss their goals, their individualized program plan will still be developed with the information available

to the MDT. The individualized program plan shall be updated throughout the inmate's time in the SAU.

Interdisciplinary Appraisal Team (IAT): The purpose of an IAT is to gain a comprehensive perspective to identify what, if any, interventions are needed to address a BAU inmate's behavior. IAT determination and recommendations are separate from, and not dependent on, the resolution of pending disciplinary matters. The IAT shall include, at minimum, the following representatives, with the Superintendent as chairperson:

- Security staff
- Program staff
- Treatment providers

Multi-Disciplinary Team (MDT): The purpose of the MDT is to guide the SAU inmate in the development, progress, and adherence to their SAU program plan. This will include regular meetings with the inmate and participation in a collaborative weekly staff meeting to discuss each SAU inmate's progress and adjustment. The MDT shall consist of, but not be limited to, the following members:

- SAU Director/Manager (chair)
- Unit Security staff
- Program staff
- Treatment providers

Progress Review: Formal written feedback for inmates in the SAU that is completed at a minimum of every ninety (90)-days for phase progression, or more often as outlined by the SAU level requirements. The purpose of these reviews is to assess the inmate's progress on individualized phase objectives and adherence to phase objectives, as well as their progress to their overall program plan. These reviews shall be completed collaboratively with the inmate's participation and the SAU MDT. These reviews shall include an overview of program engagement, progress toward identified goals, and adjustment in the unit/institution (to include any behavior or disciplinary concerns).

Secure Adjustment Unit (SAU): For purposes of this policy, an SAU is defined as a highly structured unit that is not Restrictive Housing which provides access to cognitive behavioral treatment, education, programs, structured recreation, leisure time activities, and mental health services for those inmates assessed as needing a specific structured program intervention to support positive adjustment. All SAUs follow a graduated phase system designed to encourage maximum participation. For inmates already in a BAU for assessment or who are in a SAU and being considered for placement into a different SAU track, placement into an appropriate SAU shall be pursuant to the reclassification process. Inmates who are Seriously Mentally Ill (SMI) and are not currently in a BAU, may be diverted to a SAU

pursuant to 103 DOC 650, *Mental Health Services*; 650.12 (B) (5) and 650.13 (H) (1).

Sixty (60)-Day Subsequent Appraisal: The process by which the IAT conducts a subsequent appraisal of any inmate who remains in a BAU for more than sixty (60) days, except for those inmates who are in the reclassification hearing process regarding their status/placement. In addition to considering what led to the inmate's initial BAU placement and factors that may have influenced the inmate's behavior(s), the IAT should also consider any new information received since the initial appraisal, the inmate's behavior while in the BAU, the inmate's participation in offered programming, and any input offered by the inmate.

Transition Plan: A document developed prior to discharge from a SAU that includes an overview of total SAU program engagement, progress toward identified goals, and recommendations to support positive adjustment. This will be developed collaboratively with the inmate, the MDT and receiving institution, regardless of program engagement; however, should the inmate choose not to participate, a plan shall still be developed.

#### **427.02**

#### **BAU PLACEMENT AND RETENTION**

- A. Placement into a BAU is the result of an inmate posing an unacceptable risk to the safety, security, and orderly operations of a correctional institution; or that the inmate poses a threat to others and requires separation from the general population.
- B. Inmates shall not be sanctioned to placement in a BAU pursuant to the disciplinary process. The rationale for placement into a BAU shall be documented in IMS. The Superintendent or designee shall approve all placements no later than the next available IAT meeting. The fact that an inmate is lesbian, gay, bisexual, transgender, queer, or intersex or has a gender identity or expression or sexual orientation uncommon in general population shall not be grounds for placement in a BAU.
  - 1. Upon admission into a BAU, all inmates shall be issued a BAU Inmate Orientation Manual. This manual shall include but not limited to the rules and regulations of the unit. Inmates with limited English proficiency as well as inmates requiring reasonable accommodations in accordance with the Americans with Disabilities Act (ADA) shall have access to the communication provisions outlined in 103 DOC 488, *DOC Interpreter Services* and 103 DOC 408, *Reasonable Accommodations for Inmates* if required/requested.
  - 2. The IAT shall begin the appraisal process at the next meeting and shall occur no later than three (3) business days from

placement. All inmates who are determined to need an initial appraisal will be provided a BAU Appraisal Notice (Attachment #1). Inmates will have five (5) calendar days to provide their comments to this notice for the IAT to consider. If it is determined that an inmate does not need an initial appraisal, the inmate shall be released back to a general population unit as determined by the Superintendent.

- a. This notice and any corresponding inmate comments shall be uploaded to the IMS Inmate Information Screens under the document tab.
3. The IAT will meet three (3) times per week. This will normally be every Monday, Wednesday, and Friday (excluding holidays, and exigent circumstances. In such circumstances, the meeting will be rescheduled on an alternate day to ensure that the three (3) times per week requirement is met.) During these meetings the IAT will discuss all inmates in the BAU to appraise the inmates' need for structured program intervention.
4. Through the IAT meetings, the inmates will be appraised to determine if a structured program intervention is warranted. The IAT will, if applicable, make a recommendation to the appropriate SAU program intervention, recommendation that the inmate return to the general population at their institution, or make recommendation to transfer the inmate to another institution. This initial appraisal shall normally conclude within ten (10) business days of admission.
5. The IAT discussions shall be documented in IMS as appraisal notes.
6. After the initial appraisal process is complete, inmates who are not being considered for reclassification at this time, will transition to the subsequent appraisal. Thereafter, a sixty (60)-Day Subsequent Appraisal (Attachment #2) shall be conducted every sixty (60) days in conjunction with the IAT meetings.
  - a. Prior to each sixty (60)-Day Subsequent Appraisal, the inmate shall be provided a forty-eight (48)-hour written notice.
  - b. The sixty (60)-Day Subsequent Appraisal will normally be facilitated by the Correctional Program Officer (CPO) who will review with inmate the current status of their appraisal, what has been considered/reviewed thus far by the IAT, and

- provide them an opportunity to discuss this process and provide feedback.
  - c. At the conclusion of the discussion with the CPO the inmate will have up to two (2) business days to provide their response for the IAT to consider. (Attachment #2)
  - d. The completed 60-Day Subsequent Appraisal (Attachment #2) will be signed by the Superintendent or designee and provided to the inmate.
  - e. All documentation shall be uploaded in the IMS Inmate Information Screens under the document tab.
7. If deemed appropriate, an inmate may be placed in the BAU for possible personal safety needs while the Department investigates whether there are verified personal safety needs. If it is determined there are no verified personal safety needs, the inmate shall be returned to a regular housing unit. If it is determined that there are verified safety needs at that particular institution should the inmate be placed in general population, the inmate may be held in the BAU pending reclassification and transfer of the inmate to another institution. In the event it is determined that the inmate may have verified safety needs should the inmate be placed in general population at any Department institution, the process set forth in 103 DOC 422, *Department Protective Custody Units*, shall be followed.
- C. Retention in a BAU is not dependent upon resolution of pending and/or resolved discipline. The purpose for placement into and continued retention of an inmate in a BAU, is dependent on the assessment/appraisal process and threat to orderly running.
1. The AAT will discuss BAU placements and the inmates' status from the appraisal process.

#### **427.03**

#### **SAU PLACEMENT AND RETENTION**

- A. Inmates will be reclassified to a SAU from a BAU or from another SAU for a specific program intervention in accordance with the process in 103 CMR 420, *Classification*. The fact that an inmate is lesbian, gay, bisexual, transgender, queer, or intersex or has a gender identity or expression or sexual orientation uncommon in general population shall not be grounds for placement in the SAU.
- B. Inmates reclassified to a SAU shall have all their property transferred to the receiving institution pursuant to 103 CMR 403, *Inmate Property*.

- C. Inmates transferred from other institutions to a host SAU shall be afforded the institution orientation per 103 DOC 401, *Booking and Admissions* in addition to the specifics of the SAU and its program.
- D. Inmates will be provided a SAU handbook specific to their level during the Orientation Phase of programming.
- E. The MDT will meet within the first seven (7) days of an inmate's placement and weekly thereafter, to review and discuss every inmate to monitor progress, which may include and is not limited to: program participation, adjustment and phase progression as well as progress toward goals outlined in the Individualized Program Plan (Attachment #3). A copy of this plan shall be provided to the inmate.
- F. The MDT will review and develop individualized phase objectives (Attachment #4); these objectives are designed to assist the inmate in meeting phase objectives and to assist in successful achievement of the inmate's Program Plan.
- G. The MDT will facilitate the completion of a Progress Review (Attachment #5) at a minimum of every ninety (90)-days for phase progression, or more often as outlined by the SAU level requirements. A copy of this review shall be provided to the inmate.

#### **427.04**

#### **MEDICAL/MENTAL HEALTH**

- A. Upon an inmate's placement into a BAU, health care staff shall be notified immediately in order for a health / mental health screening review to be conducted. This screening/review shall be documented in IMS in the Inmate Information screen.
- B. Immediately prior to an inmate's placement into a SAU health care staff shall be notified in order for a health / mental health screening review to be conducted. This screening/review shall be documented in the inmate's medical record.
- C. Prescribed medication shall be distributed as needed within the BAU/SAU.
- D. Unless medical attention is needed more frequently, each inmate in a BAU/SAU shall receive a daily visit from a Qualified Healthcare Professional that shall be recorded in the unit IMS Activity Log. The IMS Log entry shall document the medical staff person's name and title, that a full round and medication pass was conducted, and that the medical round was announced prior to being conducted. The frequency of physician visits shall be determined by the Health Service



Administrator (HSA). Inmates shall also be seen by a Qualified Mental Health Professional (QMHP) when clinically indicated and at the frequency determined by clinical need (refer to 103 DOC 650.05 (I)).

- E. If placement in a BAU exceeds thirty (30) days, and for all SAUs, a QMHP shall evaluate the inmate and complete appropriate documentation in inmate's medical record.
  - 1. If placement continues beyond the initial thirty (30) day mental health review, the QMHP shall complete a mental health evaluation every three (3) months thereafter. If an inmate has an identified mental health need, the mental health evaluation shall be completed monthly. More frequent evaluations shall be completed upon the direction of the Mental Health Director and per clinical indication.

#### **427.05**

#### **SUPERVISION/ROUNDS**

- A. BAU/SAU inmates are personally observed by a Correction Officer at least twice per hour. Security rounds shall be conducted at least every thirty (30) minutes, at irregular intervals, in differing patterns, and be documented in the IMS Unit Activity Log. The documented entry shall include the name of the Correction Officer who conducted the security round.
- B. Any inmate whose presentation is deemed concerning and warrants some level of increased observation, regardless of the inmate's mental health diagnosis, shall be placed on therapeutic supervision in accordance with 103 DOC 650, *Mental Health Services*; 650.08, Emergency Mental Health Services.
- C. Captains shall complete daily rounds of the BAU and SAU.
- D. At a minimum, the SAU Director shall conduct rounds of the SAU(s) three (3) times per week.
- E. At a minimum, the CPO assigned to the BAU/SAU shall conduct rounds at least three (3) times per week.
- F. The Chaplain shall conduct at least a weekly visit to the BAU/SAU.
- G. Medical/Mental Health rounds shall be conducted in accordance with 103 DOC 427.04 (D).
- H. Program staff:

1. Inmates in the BAU have access to a wellness group facilitated by program staff weekly.
2. Inmates in the SAU shall have access to program staff through individualized meetings and program sessions.

**427.06**

**CONDITIONS OF CONFINEMENT**

- A. The maximum size of a BAU/SAU varies and is based on the characteristics of its inmate population. The exact size of each management unit is determined by:
  1. the security classification of the inmate occupants
  2. the ability of staff to complete regular security checks, maintain visual and auditory contact, maintain personal contact and interaction with inmates, and be aware of unit conditions.
  3. the ability for the staff to complete all opportunities for out of cell activities.
- B. The institution shall provide housing, rooms or cells, with living conditions which approximate those of the general inmate population, consistent with the safety and security of the unit. Planning shall ensure that a room/cell used, permits inmates to communicate with staff and has a door which permits observation by staff. Any exceptions shall be documented. All cells/rooms in BAU/SAU provide a minimum of eighty (80) square feet and shall provide thirty-five (35) square feet of unencumbered space for the first occupant and twenty-five (25) square feet of unencumbered space for each additional occupant.
- C. Inmates housed in a BAU shall be placed in restraints for out of cell movement.
- D. The out-of-cell restraint status of inmates housed in a SAU shall be determined by the Superintendent, taking into consideration the security level and phase of the particular SAU. Such restraint status shall be delineated in institution procedures.
- E. Inmates shall be provided access to clothing that is not degrading and access to basic personal items for use in their cells, unless there is an imminent danger that an inmate or any other inmate(s) will destroy an item or induce self-injury. Inmates housed in a BAU/SAU shall have the opportunity to launder or exchange clothing, bedding and linens on the same basis as the general population. Exceptions are permitted only

when found necessary by the Officer in Charge (OIC) and any exception is documented in the IMS Unit Activity Log and justified in writing via an incident report.

- F. Inmates housed in BAU/SAU shall have access to barbering and hair care services on the same basis as the general population.
- G. Inmates housed in a BAU/SAU will have the opportunity to shave and shower at least five (5) times per week. This must be documented in the appropriate IMS screen.
- H. Inmates housed in a BAU/SAU (including inmates on extra restraint status), shall have a minimum of three (3) hours per day of out of cell, which must include a minimum of one (1) hour of outdoor exercise, seven (7) days per week unless security or safety concerns dictate otherwise.
- I. Inmates housed in a BAU/SAU are allowed telephone privileges in accordance with 103 CMR 482, *Telephone Access and Use* unless the inmate is serving a loss of telephone disciplinary sanction in accordance with 103 CMR 430, *Inmate Discipline*.

In addition, inmates in BAU/SAU shall have access to a telephone to directly contact a court, attorney or his/her/their consular officer or diplomat.

- J. Inmates housed in a BAU/SAU shall have the ability to write and receive mail on the same basis as general population inmates.
- K. Inmates housed in a BAU/SAU shall have the opportunity for visitation in accordance with 103 CMR 483, *Visiting Procedures* unless the inmate is serving a loss of visitation disciplinary sanction in accordance with 103 DOC 430, *Inmate Discipline*.
- L. Inmates housed in a BAU/SAU shall have access to reading and legal materials.
- M. Standard food services shall be made available to inmates in a BAU/SAU, provided their participation is consistent with the safety and security of the institution and its employees. Alternative meal service may be provided to an inmate in a BAU/SAU who uses food or food service equipment in a manner that is hazardous or otherwise disruptive to self, staff, or other inmates. Alternative meal service is provided on an individual basis in accordance with 103 DOC 760, *Food Services*, based on health or safety considerations only, meets basic nutritional requirements, and occurs with the approval of the Superintendent, or designee and responsible health

authority, or designee. Inmates on alternate feeding status shall receive the same meals as those given to the population. Alternate feeding is considered the method of delivery and retrieval of the food from the inmate and not the adjustment to the meal itself. The alternative feeding status shall not exceed seven (7) days.

- N. Privileges to retain property in a cell shall be in accordance with 103 CMR 403, *Inmate Property*, Standard Operating Procedure. Access to canteen purchases shall be in accordance with the items available on the approved list as designated by the unit.
- O. Whenever an inmate in a BAU/SAU is denied access to an item or activity that is typically authorized, an incident report shall be written to include the inmate's name, item or activity denied, and the reason for denial. Prior to denying the inmate's item or activity, the unit administrator or Deputy Superintendent of Reentry shall be contacted for approval. During non-business hours, the Shift Commander shall be notified for approval prior to the denial. A copy of the incident report is filed in the inmate's case record.

**427.07**      **EXTRA      RESTRAINT      STATUS      FOR      POTENTIALLY**  
**VIOLENT/ASSAULTIVE BAU/SAU INMATES**

In the event an inmate is deemed a risk to the unit and/or staff due to the inmate's behavior, extra restraints may be authorized by the Superintendent or designee in accordance with 103 DOC 520, *Instruments of Restraint* policy.

**427.08**      **PROGRAMS AND SERVICES**

- A. The BAU and SAU provide regularly scheduled groups which shall be facilitated by program and treatment staff. In addition, inmates in BAU/SAU shall receive visits from members of the program staff upon request.
- B. Inmates housed in a BAU/SAU shall have access to the following, including but not limited to:
  - 1. Educational services: If an inmate, while in general population, was enrolled in an educational program that is offered virtually, the inmate will be allowed continued participation. This shall also apply to an inmate who was on a wait list for education services and is reached for enrollment while BAU/SAU.
  - 2. Personalized Program Plan programming: If an inmate, while in general population, was enrolled in a program identified in the inmate's Personalized Program plan and the program is offered

virtually, the inmate will be allowed continued participation. This shall also apply to an inmate who was on a wait list for a program identified in their Personalized Program Plan and is reached for enrollment while housed in BAU/SAU.

3. Commissary services;
  4. Library services;
  5. Social services;
  6. Counseling services;
  7. Religious guidance; and
  8. Recreational programs.
- C. Inmates in the BAU will have access to tablet-based content for self-directed enrichment programming while engaged in the assessment process. User credentials shall be provided by the institution.
- D. Inmates in the BAU shall have access to a minimum of one (1) out-of-cell wellness group weekly. This shall be documented in the IMS Daily Log under the programs tab. Inmates on extra restraint status will not be offered this wellness group, however they will be able to participate in identified core programming.
- E. Inmates housed in a SAU will have an opportunity to engage in the specific program track that best meets their individual needs. Engagement in this program is voluntary and can result in the opportunity for an early reclassification hearing as well as SAU program incentives as defined by the level of SAU.

**427.09**

**RELEASE**

- A. Release from BAU/SAU to the community.
1. When an inmate in a BAU/SAU is expected to be released to the community, within thirty (30) days, an email notification must be made to the Director of Reentry Services, the ADC of Reentry, the ADC of the sector, Deputy Commissioner of Reentry and Clinical Services, and the Deputy Commissioner of Prisons. This notification shall include the detailed release plan, the institution's plans to continue to work with the individual on any outstanding issues, and their plan to support this plan while in the BAU/SAU. All required notifications provided in accordance with 103 DOC 404, *Inmate*

*Release Policy*, 103 DOC 407, *Victim Services Unit*, and 103 DOC 493, *Reentry Policy*, remain in effect. The requirements of this paragraph do not apply to immediate court-ordered releases.

B. Release from a BAU within the system:

Typically, within ten (10) business days of the inmate's placement in the BAU, the IAT will:

1. release the inmate back to general population to await the disciplinary process if not yet resolved or;
2. make a specific recommendation to the appropriate level SAU program, and order a reclassification hearing to support said placement;
3. determine that subsequent appraisal is warranted as additional information is needed (e.g., The unresolved discipline or a need for mental health assessment is critical to determine the most appropriate track of programming or whether release to general population in that or another institution is appropriate).
  - a. Upon receipt of the necessary additional information the IAT will:
    - i. Release the inmate back to general population at the institution;
    - ii. Order a reclassification hearing to support placement in a general population at an alternative institution or a SAU.

C. Upon meeting their individual program goals or upon reaching their maximum program time as outlined by their SAU level, inmates shall participate in a reclassification hearing. This hearing shall occur no later than what is allowed by the maximum program engagement time outlined by the level of SAU. The same level SAU cannot be recommended during this process:

1. Behavior which poses an unacceptable risk to the safety, security, and orderly operations or pose a threat to others in a SAU will result in a BAU placement for appraisal.
2. Inmates who demonstrate progress toward their program plan can be recommended for an early reclassification hearing by the MDT.

3. Every inmate, regardless of their level of program participation, shall have a Transition Plan (Attachment #6) developed at a minimum of two (2) weeks prior to discharge. This Transition Plan shall be created collaboratively with the inmate, the MDT, and the sending/receiving institution. Should an inmate choose not to participate in its development, a plan shall still be created.
4. Inmates may be recommended, through the reclassification process, to a lower-level SAU to access additional program opportunities.

#### **427.10**

#### **RECORDS**

- A. All activities and events in BAU shall be documented in IMS including, but not limited to: admissions and releases, unit visitors, unusual events, inmates' opportunities for showering, out of cell exercise (indoor and outdoor), weekly wellness group, visits; telephone access; and reviews conducted pursuant to 103 DOC 427.02.
- B. Unit officers are responsible for updating the Daily Activity Log in IMS for all activities offered, noting if the inmate chose to take the opportunity provided or not, as well as the hours offered out of cell.
- C. Events in the SAU shall follow the approved program schedule. The Unit Log in IMS shall be used to document unit activities.
- D. For SAUs that require restraints for movement out of cell; out of cell activity shall be documented in the IMS Daily Log to include programs, mental health groups, showers, phones, schedule leisure activity (indoor and out), and individualized appointments. Unit officers are responsible for updating the Daily Activity Log in IMS for all activities offered, noting if the inmate chose to take the opportunity provided or not, as well as the hours offered out of cell.
- E. All inmates in a SAU shall have a SAU file maintained by the SAU Director, with the file and its components to be completed by members of the MDT. Records should be maintained according to the State retention schedule.

#### **427.11**

#### **EMERGENCIES**

Whenever, in the opinion of the Commissioner or the Deputy Commissioner of Prisons, an emergency exists which requires suspension of all or part of 103 DOC 427, they may order such suspension, provided that any such suspension ordered by the Deputy Commissioner of Prisons lasting beyond forty-eight (48) hours is authorized by the Commissioner.

**Behavior Assessment Unit (BAU)****BAU Appraisal Notice**

TO: \_\_\_\_\_

FROM: Superintendent \_\_\_\_\_  
Name / Institution

DATE: \_\_\_\_\_

RE: Placement in the Behavior Assessment Unit (BAU)

Placement in the Behavior Assessment Unit (BAU) occurs when an inmate presents an unacceptable risk to the safety, security, or orderly operation of a correctional institution.

On \_\_\_\_\_ you were placed in the BAU due to:

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The purpose of placement in the BAU is to understand what contributed to this behavior and identified risk, to make a placement decision that works to lower that risk. While in the BAU you will first undergo an initial appraisal process, which may result in either a release to a general population housing unit, a classification board to the most appropriate intervention to meet your identified needs to lower the above-mentioned risk or remain on the unit for further appraisal. Those requiring further appraisal will be provided and participate in a sixty (60) day subsequent appraisal, which will take place at least every sixty (60) days from placement. While the appraisal process is informed by the behavior that led to your placement in the BAU, which may include a disciplinary or investigative process, completion of the appraisal is not dependent on the resolution of such processes.

As part of the appraisal process, the Interdisciplinary Appraisal Team (IAT) will consider your individual strengths, needs, abilities and preferences in the context of this behavior. This may include a review of your adjustment patterns, (which may relate to engagement in programming), regular visits or communication with community supports, housing changes (between institutions/within the institution), recent incident reports and recent or patterns of disciplinary reports (both formal and informal).

The IAT may also review previously completed assessments, current medical and mental health needs, substance use needs, and any other information that may help the IAT in making appropriate recommendations. Additional assessments and screening tools may be completed to better understand your current needs, which shall be used for the sole purpose of this behavior appraisal and are independent of any previous assessments.

Delivered By: \_\_\_\_\_ Date: \_\_\_\_\_ Time: \_\_\_\_\_  
(staff signature)

Acknowledgment of Receipt: \_\_\_\_\_ Date: \_\_\_\_\_ Time: \_\_\_\_\_  
(inmate signature)





**48 HOUR NOTICE OF BEHAVIOR ASSESSMENT SUBSEQUENT APPRAISAL**

TO: \_\_\_\_\_

FROM: \_\_\_\_\_

DATE: \_\_\_\_\_

RE: Notice of Behavior Assessment Subsequent Appraisal

Initial reason for BAU placement:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Current status in appraisal process:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

You are hereby notified that a subsequent appraisal has been scheduled for: \_\_\_\_\_  
Date/time

This subsequent appraisal will be used to assist the IAT in making a recommendation regarding placement or programming that is suitable for you. This may require further assessment in the BAU to make a determination.

You may participate in this appraisal in person or you may submit a written statement and/or documentation (form attached). If assistance is needed to participate in this appraisal, you may request the use of the language line, American Sign Language (ASL) interpretive services, or a reasonable accommodation pursuant to 103 DOC 408, *Reasonable Accommodations for Inmates*. Subsequent appraisals, with your participation, occur approximately every sixty (60) days after initial placement in the BAU.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Witness: \_\_\_\_\_ Date: \_\_\_\_\_

**Massachusetts Department of Correction  
Behavior Assessment Subsequent Appraisal**

TO: \_\_\_\_\_

FROM: \_\_\_\_\_  
Superintendent Name / Institution

DATE: \_\_\_\_\_

RE: 60-Day Subsequent Appraisal Outcome

You were placed in the Behavior Assessment Unit (BAU) on \_\_\_\_\_  
for the following reason:

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The following information, including input provided by you, was reviewed during a Subsequent Appraisal conducted on \_\_\_\_\_

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Inmate submitted written documentation for consideration: ☐ Yes ☐ No

*If yes, attach copy of inmate feedback*

Check here if inmate declined participation in the Subsequent Appraisal process: ☐

After consideration of available information, including input you may have provided as part of the appraisal process, the following determination has been made by the Interdisciplinary Appraisal Team:

☐ Release from the Behavior Assessment Unit with transition plan to support positive adjustment in population

☐ Program Intervention recommended, classification process to be initiated

Recommended intervention: \_\_\_\_\_

Recommended program track: \_\_\_\_\_

☐ Continued appraisal in the BAU needed to make appropriate recommendation

The following evidence supports the decision for continued BAU placement:

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For those recommended to remain in the BAU, the IAT will continue the appraisal process and consider any information as it becomes available to aid in making a recommendation. A Subsequent Appraisal shall be conducted every sixty (60) days while housed in the BAU, unless the classification process has been initiated.

Signature of Superintendent or designee: \_\_\_\_\_

Acknowledgment of Receipt: \_\_\_\_\_

Check box if inmate refused service ☐



**Secure Adjustment Unit  
Individual Program Plan**

Name: \_\_\_\_\_ ID Number: \_\_\_\_\_

Assigned Program Track: \_\_\_\_\_

BAU Appraisal Team and/or SAU Multidisciplinary Team identified need areas to address reason for placement (include recommendations for programming, resources, etc.):

Program Goals (participant's contribution):

1:

2:

3: (future and/or transitional goal)

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**Secure Adjustment Unit  
Individual Program Plan cont.**

Strengths, Needs, Abilities, Preferences (identified by participant):

Additional comments:

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Inmate Signature

Printed Name

Date

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Staff Signature

Printed Name

Date

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Unit Director Signature

Printed Name

Date

**Secure Adjustment Unit  
Individualized Phase Objectives**

Name: \_\_\_\_\_ ID Number: \_\_\_\_\_

Date of admission to the unit: \_\_\_\_\_ Current program phase: \_\_\_\_\_

<b>Timeframe</b>	<b>Behavioral</b>	<b>Emotional Regulation</b>	<b>Program Participation</b>	<b>Other</b>

Staff Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Inmate Signature: \_\_\_\_\_ Date: \_\_\_\_\_



## Secure Adjustment Unit Progress Review

Name: \_\_\_\_\_ ID Number: \_\_\_\_\_

Current program phase: \_\_\_\_\_ Review period: \_\_\_\_\_

Category	Progress	Additional Notes	
<del>Category</del> <b>Behavioral</b>	<del>Progress</del>		<del>Additional Notes</del>
<b>Behavioral</b>			
<del>Emotional Regulation</del> <b>Emotional Regulation</b>			
<del>Program Participation</del> <b>Program Participation</b>			
<del>Other</del> <b>Other</b>			

### Progress toward Individual Program Plan

Goal 1:
Progress:
Inmate's comments:

Goal 2:
Progress:
Inmate's comments:

Goal 3:
Progress:
Inmate's comments:

Recommended for next phase (if applicable): \_\_\_\_\_  
 Updates to Individual Program Plan (if applicable; requires inmate initials after review):

Initials: _____
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Inmate Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Staff Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Unit Director Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Secure Adjustment Unit  
Transition Plan**

Name: \_\_\_\_\_ ID Number: \_\_\_\_\_

Participated in programming while in the SAU: ☐ Yes ☐ No

Phase at time of recommendation for discharge: \_\_\_\_\_

Review of overall program engagement and adjustment in the SAU:

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Goal 1:
Inmate's comments:

Goal 2:
Inmate's comments:

Goal 3:
Inmate's comments:

Areas of continued focus:

Program recommendations:

Identified resources (include frequency of contact if applicable):

_____	_____	_____
Inmate Signature	Printed Name	Date
_____	_____	_____
Staff Signature	Printed Name	Date
_____	_____	_____
Unit Director Signature	Printed Name	Date

**Reviewed with receiving institution:** ☐ Yes ☐ No      Date: \_\_\_\_\_

Date Recommended for Discharge: \_\_\_\_\_

## Secure Adjustment Unit Expectations Agreement

Name: \_\_\_\_\_

ID Number: \_\_\_\_\_

While housed in the Secure Adjustment Unit (SAU), I agree to abide by the rules and expectations outlined in this agreement and in the SAU handbook. These rules and expectations apply to my behavior both on and off the unit, while engaging in unit activities, during participation in Education or provider led programs, and while utilizing tablets for self-guided enrichment.

### General Expectations

I understand that I will be unable to progress beyond Orientation phase if I do not agree to adhere to the expectations outlined on this agreement.

While housed in the SAU, I will abide by all the rules regarding behavior and adhere to the unit activity schedule as outlined in this agreement and the SAU handbook.

I will adhere to all institutional rules and Department of Correction regulations and policies and remain subject to the disciplinary process set forth in 103 CMR 430, *Inmate Discipline*, for conduct that constitutes a disciplinary offense.

I will always show respect to others, including peers, DOC administration and security staff, program staff, medical and mental health providers, etc.

I will not interfere with another inmate's program engagement, regardless of my own participation status in programming.

### Program Expectations

If I choose to participate in available programs facilitated by contracted providers, I will demonstrate respect for staff and peers while in attendance.

I will not engage in disruptive or inappropriate behavior while in attendance at any programs. This includes, but is not limited to, threats or acts of violence, use of obscene or offensive language, and behavior that detracts from productivity of the program

I will collaborate with members of the SAU Multidisciplinary team to form individual and program goals and demonstrate effort towards achieving these goals.

I understand that I will not receive priority for participation in recidivism reduction programs by virtue of my placement in the SAU, but that I will be offered enrollment, through packets or tablet programming, if/when eligible, as I would if housed in any general population unit. I will not be penalized in any manner or subject to Program Engagement Strategy (PES) consequences for declining participation in these programs while housed in the SAU.

I understand that participation in programming will not dictate my institutional placement upon discharge from the SAU. I will be given the opportunity to collaborate with the SAU Multidisciplinary team, regarding my placement through the creation of a Transition Plan. However, final determination for my placement will be made through the classification process.

Tablet Usage

I understand that I will be provided a program tablet if enrolled in programs that require usage of one. Tablets are the sole property of the Department of Correction.

I will not damage or destroy the tablet, or attempt to do so, including attempts to gain access to the internal electronics. Any such actions could result in imposition of discipline in accordance with 103 CMR 430, *Inmate Discipline*.

I will avoid food and/or liquids near the tablet.

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I acknowledge that these expectations were reviewed with me, and I agree to follow them as outlined, in addition to any other identified rules.

Inmate Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Staff Signature: \_\_\_\_\_

Date: \_\_\_\_\_